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**PATENT**  
Attorney Docket No.: AM524R1/T289  
TTC No.: 16301-028900

Assistant Commissioner for Patents  
Washington, D.C. 20231

On December 14, 2001

TOWNSEND and TOWNSEND and CREW LLP

By: [Signature]

#27  
[Signature]  
1/28/02



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
BEFORE THE BOARD OF PATENT APPEALS AND INTERFERENCES**

In re application of:

KATSUYUKI MUSAKA et al.

Application No.: 09/187,551

Filed: November 5, 1998

For: METHOD FOR FORMING A THIN  
FILM FOR A SEMICONDUCTOR  
DEVICE

Examiner: Marianne Padgett

Art Unit: 1762

APPELLANT'S BRIEF UNDER 37 CFR §  
1.192

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Applicants, in the above-captioned patent application, appeal the final rejection of claims 1-10, 27-29, and 31-34. The claims on appeal have been finally rejected pursuant to MPEP § 706.07(b). Accordingly, this appeal is believed to be proper. This appeal brief is filed in triplicate.

**I. REAL PARTY IN INTEREST:**

The real party in interest for the above-identified application is APPLIED MATERIALS, INC., a Delaware corporation having its principal place of business at P.O. Box 450A, Santa Clara, California 95052. The assignment is recorded in the U.S. Patent and Trademark Office on August 22, 1994 at Reel 7161/Frame 0321.

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II. RELATED APPEALS AND INTERFERENCES:

There are no appeals or interferences related to the present appeal.

III. STATUS OF CLAIMS:

Claims 1-10, 27-29, and 31-34 are pending.

Claims 1-10, 27-29, and 31-34 stand rejected as being based on a defective declaration under 35 U.S.C. § 251. The Reissue Declaration as filed with the application states: "All errors corrected in this reissue application arose without any deceptive intention on the part of the applicant." Accordingly, Applicants believe the Reissue Declaration is not defective.

Claims 27-29 and 31-33 stand rejected under 35 U.S.C. § 251 as being an improper recapture of subject matter surrendered in the application for the patent upon which the present reissue is based.

Claims 27-29 and 31-34 stand rejected under 35 U.S.C. § 112, first paragraph, as containing subject matter which was not described in the specification in such a way as to reasonably convey to one skilled in the relevant art that the inventors, at the time the application was filed, had possession of the claimed invention. The Examiner alleges that claims 27-29 and 31-33 contain new matter. Claims 27-29 and 31-33 stand rejected under 35 U.S.C. § 251 as being based upon new matter added to the patent for which reissue is sought.

Claims 1-10 stand provisionally rejected under the judicially created doctrine of obviousness-type double patenting as being unpatentable over claims 29-33, 38-40, and 42-45 of copending Application No. 08/888,499. Applicants filed a terminal disclaimer on November 21, 2001 in response to this rejection.

Claims 27, 28, and 31 stand rejected under 35 U.S.C. § 102(b) or (e) as anticipated by or, in the alternative, under 35 U.S.C. § 103(a) as obvious over Homma et al.

Claims 1-10, 27-29, and 31-34 stand rejected under 35 U.S.C. § 103(a) as being unpatentable over Nishiyama et al.

Claims 27-29 and 31-34 stand provisionally rejected under the judicially created doctrine of obviousness-type double patenting as being unpatentable over claims 29-33, 38-40, and 42-45 of copending Application No. 08/888,499. Applicants filed a terminal disclaimer on November 21, 2001 in response to this rejection.

Claims 27-29 and 31-34 stand rejected under 35 U.S.C. § 103(a) as being unpatentable over WO 92/20888 to Weise.

IV. STATUS OF AMENDMENTS:

Claims 1-10, 27-29, and 31-34 were rejected in the Office Action mailed October 31, 2000. The Examiner alleged that Applicants' statements based on Fig. 13 in the present application did not make sense and alleged that Fig. 13 was scientifically incorrect. In an Amendment filed on February 27, 2001, Applicants amended the claims and submitted a Declaration by Katsuyuki Musaka under 37 CFR § 1.132, which stated at ¶ 6:

6. Fig. 13 of the present Patent Application shows test results of  $C_2F_6$  flow rate versus stress of the silicon oxide film obtained according to a method of the present Patent Application. Fig. 13 shows a reduction of the stress, which is a compressive stress of about  $-1.25 \times 10^9$  dyne/cm<sup>2</sup> at zero  $C_2F_6$  flow, with higher  $C_2F_6$  flow rates. The magnitude of the compressive stress decreases with an increase in the  $C_2F_6$  flow rate. As seen in Fig. 13, the stress changes from negative (i.e., compressive) to positive (i.e., tensile) at about 450 sccm  $C_2F_6$  flow rate. At a  $C_2F_6$  flow rate of about 600 sccm, the stress becomes a tensile stress of about  $0.4 \times 10^9$  dyne/cm<sup>2</sup>.

Claims 1-10, 27-29, and 31-34 were finally rejected in the Office Action mailed June 12, 2001. The Examiner alleges that the Declaration of Musaka contradicts the specification. Applicants filed a Response After Final under 37 C.F.R. § 1.116 on August 13, 2001. In the Advisory Action mailed September 4, 2001, the Examiner maintained the rejections.

In accordance with 37 C.F.R. § 1.192(c)(9), a copy of the claims involved in the appeal are contained in the Appendix attached hereto.

V. SUMMARY OF THE INVENTION:

Embodiments of the present invention provide a method of depositing conformal, high quality silicon oxide films over closely spaced, submicron lines and spaces without the formation of voids. The method comprises forming a plasma of tetraethylorthosilicate (TEOS) and a selected halogen-containing gas.

An embodiment of the present invention is directed to a method of forming a conformal thin film of silicon oxide on a substrate having spaced conductive lines thereon.

The method comprises mounting a substrate onto a substrate support in a vacuum chamber. A plasma is formed in the vacuum chamber in a region above the substrate by means of an electrical power source from a reaction gas comprising a mixture of tetraethylorthosilicate and a fluorine-containing halocarbon gas selected from the group consisting of  $CY_4$  and  $CX_3-(CX_2)_n-CX_3$ . X is hydrogen or halogen and n is an integer from 0 to 5 with the proviso that at least one X is fluorine and wherein Y is hydrogen or halogen and at least one Y is hydrogen and at least one Y is fluorine. The substrate is subjected to the plasma so as to deposit a layer of silicon oxide containing at least about 2.5 atomic percent of fluorine onto the substrate.

In accordance with another embodiment, a method of forming a layer of silicon oxide over a substrate having spaced conductive lines thereon in a process chamber comprises introducing a selected process gas comprising tetraethylorthosilicate and oxygen into the process chamber. A flow of a halogen source is added to the selected process gas at a flow rate previously determined to achieve a desired stress in the layer from a plasma enhanced reaction of the selected process gas and the flow of the halogen source at the flow rate. The desired stress in the layer is a tensile stress instead of a compressive stress in another layer formed from another plasma enhanced reaction of the selected process gas without the flow of the halogen source. The method comprises forming the layer with the desired tensile stress from the plasma enhanced reaction of the selected process gas and the flow of the halogen source at the flow rate.

In an example, Fig. 13 of the present application shows test results of  $C_2F_6$  flow rate versus stress of the silicon oxide film obtained according to a method of the present Patent Application. Fig. 13 shows a reduction of the stress, which is a compressive stress of about  $-1.25 \times 10^9$  dyne/cm<sup>2</sup> at zero  $C_2F_6$  flow, with higher  $C_2F_6$  flow rates. The magnitude of the compressive stress decreases with an increase in the  $C_2F_6$  flow rate. As seen in Fig. 13, the stress changes from negative (i.e., compressive) to positive (i.e., tensile) at about 450 sccm  $C_2F_6$  flow rate. At a  $C_2F_6$  flow rate of about 600 sccm, the stress becomes a tensile stress of about  $0.4 \times 10^9$  dyne/cm<sup>2</sup>. Declaration of Musaka, ¶ 6.

#### VI. ISSUES:

The following issues are presented:

✓ Whether claims 27-29 and 31-33 are properly rejected under 35 U.S.C. § 251 as being an improper recapture of subject matter surrendered in the application for the patent upon which the present reissue is based.

✓ Whether claims 27-29 and 31-34 are properly rejected under 35 U.S.C. § 112, first paragraph, as containing subject matter which was not described in the specification in such a way as to reasonably convey to one skilled in the relevant art that the inventors, at the time the application was filed, had possession of the claimed invention.

✓ Whether claims 27-29 and 31-33 are properly rejected under 35 U.S.C. § 251 as being based upon new matter added to the patent for which reissue is sought.

✓ Whether claims 27, 28, and 31 are properly rejected under 35 U.S.C. § 102(b) or (e) as anticipated by or, in the alternative, under 35 U.S.C. § 103(a) as obvious over Homma et al. (USP 5,288,518).

✓ Whether claims 1-10, 27-29, and 31-34 are properly rejected under 35 U.S.C. § 103(a) as being unpatentable over Nishiyama et al.

Whether claims 27-29 and 31-34 are properly rejected under 35 U.S.C. § 103(a) as being unpatentable over WO 92/20888 to Weise.

#### VII. GROUPING OF THE CLAIMS:

In the present case, the rejected claims do not all stand or fall together. Applicants submit that each claim presents distinct issues concerning patentability. In the interest of administrative economy and efficiency, however, Applicants agree to narrow the issues for the purposes of this appeal only by grouping the claims as follows:

Group 1: Claims 1, 6, and 7, which relate generally to a method of forming a conformal thin film of silicon oxide on a substrate having spaced lines thereon, wherein a plasma is formed in the vacuum chamber in a region above the substrate by means of an electrical power source from a reaction gas comprising a mixture of tetraethylorthosilicate and a fluorine-containing halocarbon gas selected from the group consisting of  $CY_4$  and  $CX_3-(CX_2)_n-CX_3$ . X is hydrogen or halogen and n is an integer from 0 to 5 with the proviso that at least one X is fluorine and wherein Y is hydrogen or halogen and at least one Y is hydrogen and at least one Y is fluorine;

- Group 2: Claim 2, which is directed generally to the same subject matter as claim 1, but which includes the additional limitations that the plasma is created from the tetraethylorthosilicate and  $C_2F_6$ ;
- Group 3: Claims 3-5, which are directed generally to the same subject matter as claim 1, but which include the additional limitation that the plasma is created by means of two power sources having different frequencies;
- Group 4: Claims 8-10, which relate generally to a method of forming a conformal thin film of silicon oxide over a substrate having spaced conductive lines thereon in a plasma chamber, wherein a plasma is formed from a plasma precursor gas vaporized tetraethylorthosilicate in a carrier gas including oxygen and a fluorocarbon selected from the group consisting of  $CY_4$  and  $CX_3-(CX_2)_n-CX_3$ , wherein X is hydrogen or fluorine and n is an integer from 0 to 5 with the proviso that at least one X is fluorine and Y is hydrogen or halogen and at least one Y is hydrogen and at least one Y is fluorine, for depositing a layer of silicon oxide containing at least about 2.5 atomic percent of fluorine over the conductive lines;
- Group 5: Claims 27 and 28, which relate generally to a method of forming a layer of silicon oxide over a substrate having spaced conductive lines thereon in a process chamber, wherein a selected process gas comprises tetraethylorthosilicate and oxygen into the process chamber, wherein a flow of a halogen source is added to the selected process gas at a flow rate previously determined to achieve a desired stress in the layer from a plasma enhanced reaction of the selected process gas and the flow of the halogen source at the flow rate, and wherein the desired stress in the layer is a tensile stress instead of a compressive stress in another layer formed from another plasma enhanced reaction of the selected process gas without the flow of the halogen source;
- Group 6: Claim 29, which is directed generally to the same subject matter as claim 27, but which includes the additional limitation that the fluorine source is selected from the group consisting of  $CF_4$  and  $C_2F_6$ ;

- Group 7: Claim 31, which is directed generally to the same subject matter as claim 27, but which includes the additional limitation that the desired tensile stress is less than about  $0.4 \times 10^9$  dynes/cm<sup>2</sup> in magnitude;
- Group 8: Claim 32, which is directed generally to the same subject matter as claim 31, but which includes the additional limitation that the fluorine source comprises C<sub>2</sub>F<sub>6</sub>;
- Group 9: Claim 33, which is directed generally to the same subject matter as claim 27, but which includes the additional limitation that the selected process gas comprises a mixture of the tetraethylorthosilicate and a fluorine-containing halocarbon gas selected from the group consisting of CY<sub>4</sub> and CX<sub>3</sub>-(CX<sub>2</sub>)<sub>n</sub>-CX<sub>3</sub>, wherein X is hydrogen or halogen and n is an integer from 0 to 5 with the proviso that at least one X is fluorine, and wherein Y is hydrogen or halogen and at least one Y is hydrogen and at least one Y is fluorine; and
- Group 10: Claim 34, which is directed generally to the same subject matter as claim 33, but which includes the additional limitation that the layer of silicon oxide contains at least about 2.5 atomic percent of fluorine over the conductive lines.

VIII. DISCUSSION OF THE REFERENCES RELIED UPON BY THE EXAMINER:

In rejecting the claims under 35 U.S.C. §§ 102(b), 102(e), and 103(a), the Examiner relied upon the following references:

1. Homma et al. (United States Patent No. 5,288,518)

Homma et al. discloses a chemical vapor deposition method for forming a fluorine-containing silicon oxide film by introducing a gaseous mixture of alkoxysilane or its polymers as a source gas with fluoroalkoxysilane added thereto into a reaction chamber and performing decomposition of the gaseous mixture to deposit the fluorine-containing silicon oxide film onto a substrate. Homma et al. notes that "the silicon oxide films produced according to the prior art have a strong internal tensile stress of about  $1 \times 10^9$  dyn/cm<sup>2</sup>" (col. 1, lines 35-37). In one example, the method employed by Homma et al. reduced the internal stress to " $2 \times 10^8$  dyn/cm<sup>2</sup> which was lower by one order of magnitude than that of the prior art silicon oxide film of  $1 \times 10^9$  dyn/cm<sup>2</sup>" (col. 3, lines 42-45).

2. Nishiyama et al. (United States Patent No. 5,429,995)

Nishiyama et al. discloses a method of manufacturing a semiconductor device, in which a silicon oxide film containing fluorine is formed by plasma CVD method using a source gas containing at least silicon, oxygen, and fluorine. Nishiyama et al. discloses the use of  $\text{CF}_4$ ,  $\text{ClF}_3$ , and  $\text{SiF}_4$  as the fluorine-containing compound in place of  $\text{NF}_3$  (col. 7, lines 18-20).

3. Weise et al. (PCT Publication No. WO 92/20888)

Weise et al. discloses a process for reducing intrinsic stress and/or hydrogen content of a  $\text{SiO}_x$  film grown by chemical vapor deposition. The process is applicable to plasma-enhanced and electron cyclotron resonance chemical vapor deposition of silicon dioxide wherein a vapor phase etchant is introduced while growing the silicon dioxide film. Three gases are used. "To grow silicon dioxide, the first gas can comprise a silicon containing gas such as  $\text{SiH}_4$ ,  $\text{Si}_2\text{H}_6$ ,  $\text{SiF}_4$ ,  $\text{Si}_2\text{F}_6$ ,  $\text{SiCl}_4$ ,  $\text{SiH}_2\text{Cl}_2$  and organosilanes, the second gas can comprise a halogen gas such as  $\text{NF}_3$ ,  $\text{HF}$ ,  $\text{SF}_6$ ,  $\text{CF}_4$ ,  $\text{C}_2\text{F}_6$ ,  $\text{C}_2\text{Cl}_3\text{F}_3$ ,  $\text{SF}_6$ ,  $\text{Br}_2$ ,  $\text{Cl}$ ,  $\text{F}_2$  and  $\text{I}_2$  and the third gas can comprise  $\text{O}_2$ ,  $\text{N}_2\text{O}$  and  $\text{CO}_2$ ." Page 9, lines 14-20. "The intrinsic stress reducing step can reduce the magnitude of the intrinsic stress in the film to below 200 MPa, preferably below 150 MPa and more preferably below 100 MPa." Page 9, lines 26-30.

IX. ARGUMENTS:

Because all the claims do not stand or fall together, Applicants will present arguments for each claim group.

A. Claims 1-10

Claim Group 1

Claims 1, 6, and 7 stand rejected under 35 U.S.C. §103(a) as being unpatentable over Nishiyama et al. The Examiner recognizes that Nishiyama et al. does not disclose the fluorine-containing halocarbon gases recited in claim 1, but alleges that it would have been obvious to substitute the claimed compounds for the  $\text{CF}_4$  disclosed in Nishiyama et al.

Applicants respectfully submit that claims 1, 6, and 7 are patentable over Nishiyama et al. because, for instance, Nishiyama et al. does not teach or suggest forming a layer using a gas comprising tetraethylorthosilicate and a gas selected from the group consisting of  $\text{CY}_4$  and  $\text{CX}_3\text{-(CX}_2)_n\text{-CX}_3$ , wherein X is hydrogen or halogen and n is an integer



from 0 to 5 with the proviso that at least one X is fluorine, and wherein Y is hydrogen or halogen and at least one Y is hydrogen and at least one Y is fluorine. Nishiyama et al. discloses CF<sub>4</sub>, ClF<sub>3</sub>, or SiF<sub>4</sub>, and is devoid of any suggestion for the recited compounds. The rejection relies on the benefit of hindsight.

The Examiner alleges that the claimed gas compositions and those listed in Nishiyama et al. "would have been expected to have analogous chemistry and to produce the same trend for [F]/stress effects, using routing [sic] experimentation to determine their desirable flow parameter, etc." The Examiner does not provide an explanation for the allegation, except that one of the gaseous F-containing compounds (CF<sub>4</sub>) disclosed in Nishiyama et al. contains fluorine and carbon. Such a disclosure by itself does not suggest the claimed gas compositions. Significantly, Nishiyama et al. discloses that it is possible to use CF<sub>4</sub>, ClF<sub>3</sub>, or SiF<sub>4</sub> instead of NF<sub>3</sub> (col. 7, lines 16-20). This suggests that a variety of gaseous fluorine-containing compounds can be used and would not have motivated a person of ordinary skill in the art to develop the formula for the fluorocarbon as recited in the claimed invention.

Claim Group 2

Claim 2 stands rejected under 35 U.S.C. §103(a) as being unpatentable over Nishiyama et al. Applicants believe claim 2 is allowable for the same reasons that claim 1 is allowable. Claim 2 further recites that the plasma is created from the tetraethylorthosilicate and C<sub>2</sub>F<sub>6</sub>. Nishiyama et al. discloses only CF<sub>4</sub>, and does not suggest the use of C<sub>2</sub>F<sub>6</sub> in the claimed method. Therefore, claim 2 is patentable.

Claim Group 3

Claims 3-5 stand rejected under 35 U.S.C. §103(a) as being unpatentable over Nishiyama et al. Applicants believe claims 3-5 are allowable for the same reasons that claim 1 is allowable. Claims 3-5 further recite that the plasma is created by means of two power sources having different frequencies. Nishiyama et al. does not suggest the use of two power sources with different frequencies using the claimed process gas. Accordingly, claims 3-5 are patentable.

Claim Group 4

Claims 8-10 stand rejected under 35 U.S.C. §103(a) as being unpatentable over Nishiyama et al. Applicants respectfully submit that claims 8-10 are patentable over

Nishiyama et al. because, for instance, Nishiyama et al. does not teach or suggest forming a layer using a gas comprising tetraethylorthosilicate and a gas selected from the group consisting of  $CY_4$  and  $CX_3-(CX_2)_n-CX_3$ , wherein X is hydrogen or halogen and n is an integer from 0 to 5 with the proviso that at least one X is fluorine, and wherein Y is hydrogen or halogen and at least one Y is hydrogen and at least one Y is fluorine. Nishiyama et al. discloses only  $CF_4$  and is devoid of any suggestion for the recited compounds. The rejection benefits from the exercise of hindsight.

The Examiner alleges that the claimed gas compositions are analogous to those listed in Nishiyama et al. As discussed above, however, Nishiyama et al. discloses it is possible to use  $CF_4$ ,  $ClF_3$ , or  $SiF_4$  instead of  $NF_3$  (col. 7, lines 16-20), which would not have motivated a person of ordinary skill in the art to develop the formula for the fluorocarbon as recited in the claimed invention.

B. Claims 27-29 and 31-34

The Examiner's rejections of claims 27-29 and 31-34 are predicated on her obstinate belief that the arguments concerning the various stresses do not make sense, and that the Declaration of Musaka is contradicted by the specification. The Examiner alleges that the Declaration of Musaka submitted with the Amendment dated February 27, 2001, contradicts the specification. The Examiner points to column 6, lines 43-45: "The compressive stress of the above film was found to be  $1 \times 10^9$  dynes/cm<sup>2</sup>." The Examiner alleges that this statement infers the a positive stress is compressive and a negative stress is tensile.

The Examiner's reasoning is flawed. The  $1 \times 10^9$  dynes/cm<sup>2</sup> is a stress magnitude. Because the statement already refers to the stress as a compressive stress, there is no need to insert a negative sign in front of the magnitude. The insertion of a sign would be necessary, for instance, in a mathematical equation to distinguish between tensile (positive) stress and compressive (negative) stress for mathematical consistency. When the statement identifies the stress as a compressive stress, all is needed is the magnitude to fully describe the stress, and no negative sign is necessary.

In addition, the Examiner believes that the change of the stress from negative values to positive values in Fig. 13 is scientifically incorrect. In Fig. 13, the stress in the layer is a compressive stress of about  $-1.25 \times 10^9$  dyne/cm<sup>2</sup> at zero  $C_2F_6$  flow rate. The magnitude of

the compressive stress decreases with an increase in the  $C_2F_6$  flow rate. The stress changes from negative (i.e., compressive) to positive (i.e., tensile) at about 450 sccm  $C_2F_6$  flow rate. At a  $C_2F_6$  flow rate of about 600 sccm, the stress is a tensile stress of about  $0.4 \times 10^9$  dyne/cm<sup>2</sup>. Declaration of Musaka, at ¶ 6. The Examiner alleges that the values should not be negative, but just down an order of magnitude. The Examiner apparently confuses a regular scale which is used in Fig. 13 with a logarithmic scale which would be used to represent changes in orders of magnitude. There is nothing scientifically incorrect about a change in the stress from compressive to tensile going through a zero stress state as the process conditions are altered, such as the change in the gas flow rate shown in Fig. 13.

The Examiner's fixation on her belief that the stress diagram in Fig. 13 is somehow defective leads her to conclude that the inventor himself, who had over 13 years of industry experience and was involved in the experiments that led to the results presented in this application, lacks the competence to tell the difference between a tensile stress and a compressive stress. The Examiner's position is untenable.

As stated in the Declaration of Musaka, ¶ 6, Fig. 13 of the present Patent Application shows a reduction of the stress, which is a compressive stress of about  $-1.25 \times 10^9$  dyne/cm<sup>2</sup> at zero  $C_2F_6$  flow, with higher  $C_2F_6$  flow rates, where the stress changes from negative (i.e., compressive) to positive (i.e., tensile) at about 450 sccm  $C_2F_6$  flow rate. There is no contradiction between the specification and the Declaration of Musaka. The Examiner's belief has no basis.

1. Rejections Under Section 112, ¶ 1, and Based on Alleged New Matter

Claims 27-29 and 31-34 stand rejected under 35 U.S.C. § 112, first paragraph, as containing subject matter which was not described in the specification in such a way as to reasonably convey to one skilled in the relevant art that the inventors, at the time the application was filed, had possession of the claimed invention. Claims 27-29 and 31-33 stand rejected under 35 U.S.C. § 251 as being based upon new matter added to the patent for which reissue is sought. The Examiner alleges that the use of the term "tensile" stress in claim 27 introduces new matter because the specification only uses the terms "intrinsic" stress and "compressive" stress.

Applicants respectfully submit that the disclosure of the present application clearly teaches the addition of a flow of a halogen source to a selected process gas at a flow rate to achieve a desired tensile stress in the layer from a plasma enhanced reaction of the selected process gas and the flow of the halogen source at the flow rate instead of a compressive stress in another layer formed from another plasma enhanced reaction of the selected process gas without the flow of the halogen source. The specification discusses the presence of compressive stress in the film. At page 14, lines 28-30, the specification states that Fig. 13 shows a reduction of the stress, which is a compressive stress of about  $-1.25 \times 10^9$  dyne/cm<sup>2</sup> at zero C<sub>2</sub>F<sub>6</sub> flow, with higher C<sub>2</sub>F<sub>6</sub> flow rates. As shown in Fig. 13, the stress changes from negative (i.e., compressive) to positive (i.e., tensile) at about 450 sccm C<sub>2</sub>F<sub>6</sub> flow rate. See Declaration of Musaka, at ¶ 6.

It has been long held that “*ipsis verbis*” disclosure is not necessary to satisfy the written description requirement of section 112. Instead, the disclosure need only reasonably convey to persons skilled in the art that the inventor had possession of the subject matter in question.” *Fujikawa v. Wattanasin*, 39 U.S.P.Q.2d 1895, 1904 (Fed. Cir. 1996) (citation omitted); *In re Alton*, 37 U.S.P.Q.2d 1578, 1584 (Fed. Cir. 1996) (“If a person of ordinary skill in the art would have understood the inventor to have been in possession of the claimed invention at the time of filing, even if every nuance of the claims is not explicitly described in the specification, then the adequate written description requirement is met.”). The disclosure of the tensile stress is clear to a person of ordinary skill in the art. Disclosure of the tensile stress in the form of Fig. 13 is adequate. “To meet the requirement of § 112, the patent application need not utilize any particular form of disclosure.” *Emory Univ. v. Glaxo Wellcome Inc.*, 44 U.S.P.Q.2d 1407, 1412 (N.D. Ga. 1997). Thus, the claims comply with 35 U.S.C. § 112. Because the change of the stress from compressive to tensile by introducing adequate flow of halogen source is clearly disclosed, the claims do not introduce new matter.

The disclosure is objected to based on alleged informalities directed to the negative stress values in Fig. 13 which the Examiner believes to be scientifically incorrect. In Fig. 13, the stress in the layer is a compressive stress of about  $-1.25 \times 10^9$  dyne/cm<sup>2</sup> at zero C<sub>2</sub>F<sub>6</sub> flow rate. The magnitude of the compressive stress decreases with an increase in the C<sub>2</sub>F<sub>6</sub> flow rate. The stress changes from negative (i.e., compressive) to positive (i.e., tensile) at

about 450 sccm  $C_2F_6$  flow rate. At a  $C_2F_6$  flow rate of about 600 sccm, the stress is a tensile stress of about  $0.4 \times 10^9$  dyne/cm<sup>2</sup>. Declaration of Musaka, at ¶ 6.

The Examiner alleges that the values should not be negative, but just down an order of magnitude. The Examiner apparently confuses a regular scale which is used in Fig. 13 with a logarithmic scale which would be used to represent changes in orders of magnitude.

There is nothing scientifically incorrect about a change in the stress from compressive to tensile going through a zero stress state as the process conditions are altered, such as the change in the gas flow rate shown in Fig. 13. The Examiner's objections have no basis.

The Examiner continues to focus on her unfounded belief that it is impossible for the stress to change from compressive to tensile. This leads her to disregard the Declaration of Musaka who had over 13 years of industry experience and was involved in the experiments that led to the results presented in this application.

For at least the foregoing reasons, Applicants believe the claims comply with 35 U.S.C. § 112, and do not introduce new matter.

2. Rejection for Alleged Recapture

Claims 27-29 and 31-33 stand rejected under 35 U.S.C. § 251 as being an improper recapture of subject matter surrendered in the application for the patent upon which the present reissue is based.

Applicants note that the addition of claims 27-29 and 31-33 does not violate the recapture rule. MPEP 1412.02 states:

Impermissible recapture occurs in a reissue where the claims in the reissue are of the same scope as, or are broader in scope than, claims deliberately canceled in an application to obtain a patent. Where such claims also include some narrowing limitation not present in the claims deliberately canceled in the application, the examiner must determine whether that narrowing limitation has a material aspect to it. If the narrowing limitation has a material aspect to it, then there is no recapture.

In this case, Applicants respectfully assert that independent claim 27 includes a narrowing limitation not present in the claims deliberately canceled in the application and that the narrowing limitation has a material aspect to it. The narrowing limitation in claim 27 is as follows:

adding a flow of a halogen source to the selected process gas at a flow rate previously determined to achieve a desired stress in the layer from a plasma enhanced reaction of the selected process gas and the flow of the halogen source at the flow rate, the desired stress in the layer being a tensile stress instead of a compressive stress in another layer formed from another plasma enhanced reaction of the selected process gas without the flow of the halogen source; and

forming the layer from the plasma enhanced reaction of the selected process gas and the flow of the halogen source at the flow rate.

The Examiner alleges that there is recapture because the recited stress and the concentration of fluorine are inherently related. MPEP 1412.02 states that "if the narrowing limitation is incidental, mere verbiage, or would be inherent even if not recited (in view of the specification), then the claims should be rejected under 35 U.S.C. 251." In this case, even assuming *arguendo* that the change of the stress in the layer were inherently related to the fluorine concentration, the formation of a layer at the flow rate selected to produce a tensile stress instead of a compressive stress in the layer would still not be incidental, mere verbiage, or inherent. Rather, the formation of a layer having a tensile stress by selecting an appropriate flow rate of the halogen source has a material aspect to it that was not previously surrendered or deliberately canceled and was not inherent in the previously examined claims.

*The Examiner's rejection appears to be predicated on her belief that the arguments concerning the various stresses do not make sense, and that the Declaration of Musaka is contradicted by the specification.* As discussed above, the Examiner's position is untenable. As stated in the Declaration of Musaka, ¶ 6, Fig. 13 of the present Patent Application shows a reduction of the stress, which is a compressive stress of about  $-1.25 \times 10^9$  dyne/cm<sup>2</sup> at zero C<sub>2</sub>F<sub>6</sub> flow, with higher C<sub>2</sub>F<sub>6</sub> flow rates, where the stress changes from negative (i.e., compressive) to positive (i.e., tensile) at about 450 sccm C<sub>2</sub>F<sub>6</sub> flow rate. There is no contradiction between the specification and the Declaration of Musaka.

For at least the foregoing reasons, Applicants respectfully submit there is no recapture of subject matter surrendered in the application for the patent upon which the present reissue is based.

3. Rejections Based on Prior Art

Claim Group 5

Claims 27 and 28 stand rejected under 35 U.S.C. §103(a) as being unpatentable over Nishiyama et al. or Weise et al. Claims 27 and 28 are further rejected under 35 U.S.C. § 102(b) or (e) as anticipated by or, in the alternative, under 35 U.S.C. § 103(a) as obvious over Homma et al.

Applicants respectfully contend that claims 27 and 28 are patentable over the references because, for instance, they do not disclose or suggest adding a flow of a halogen source to the selected process gas at a flow rate previously determined to achieve a desired stress in the layer which is a tensile stress instead of a compressive stress in another layer formed without the flow of the halogen source. There is nothing in the references that suggests the recited features.

Generating a tensile stress instead of a compressive stress in a layer by adding a flow of a halogen source is illustrated, for instance, in Fig. 13. In Fig. 13, the halogen source is  $C_2F_6$ . The stress in the layer is a compressive stress of about  $-1.25 \times 10^9$  dyne/cm<sup>2</sup> at zero  $C_2F_6$  flow rate. The magnitude of the compressive stress decreases with an increase in the  $C_2F_6$  flow rate. At a  $C_2F_6$  flow rate of about 600 sccm, the stress becomes a tensile stress of about  $0.4 \times 10^9$  dyne/cm<sup>2</sup>. Nothing in the cited art discloses or suggests adding a flow of a halogen source to a selected process gas comprising tetraethylorthosilicate and oxygen to achieve a tensile stress, instead of a compressive stress in another layer formed using the selected process gas without the flow of the halogen source.

*The Examiner's rejection is predicated on her obstinate belief that the arguments concerning the tensile stress do not make sense, and that the Declaration of Musaka is contradicted by the specification.* As stated in the Declaration of Musaka, ¶ 6, however, Fig. 13 of the present application shows a reduction of the stress, which is a compressive stress of about  $-1.25 \times 10^9$  dyne/cm<sup>2</sup> at zero  $C_2F_6$  flow rate, with higher  $C_2F_6$  flow rates, where the stress changes from negative (i.e., compressive) to positive (i.e., tensile) at about 450 sccm  $C_2F_6$  flow rate. There is no contradiction between the specification and the Declaration of Musaka. Accordingly, claims 27 and 28 are novel and patentable.

Claim Group 6

Claim 29 is rejected under 35 U.S.C. §103(a) as being unpatentable over Nishiyama et al. or Weise et al.

Applicants believe claim 29 is allowable for the same reasons that claim 27 is allowable. Claim 29 further recites that the fluorine source is selected from the group consisting of  $\text{CF}_4$  and  $\text{C}_2\text{F}_6$ . Neither Nishiyama et al. nor Weise et al. suggest the use of  $\text{CF}_4$  or  $\text{C}_2\text{F}_6$  in the recited method of forming the layer with a desired tensile stress instead of a compressive stress. Therefore, claim 29 is patentable.

Claim Group 7

Claim 31 is rejected under 35 U.S.C. §103(a) as being unpatentable over Nishiyama et al. or Weise et al. Claim 31 is further rejected under 35 U.S.C. § 102(b) or (e) as anticipated by or, in the alternative, under 35 U.S.C. § 103(a) as obvious over Homma et al.

Applicants believe claim 31 is allowable over Nishiyama et al., Weise et al., and Homma et al. for the same reasons that claim 27 is allowable. Claim 31 further recites that the desired tensile stress is less than about  $0.4 \times 10^9$  dynes/cm<sup>2</sup> in magnitude. The references do not suggest the desired tensile stress instead of a compressive stress in the layer formed using the claimed method. Therefore, claim 31 is patentable.

Claim Group 8

Claim 32 stands rejected under 35 U.S.C. §103(a) as being unpatentable over Nishiyama et al. or Weise et al. Applicants believe claim 32 is allowable over Nishiyama et al. and Weise et al. for the same reasons that claim 27 is allowable. Claim 32 further recites that the fluorine source comprises  $\text{C}_2\text{F}_6$ . The references do not suggest the use of  $\text{C}_2\text{F}_6$  in the method as claimed to achieve a tensile stress instead of a compressive stress in the layer. Accordingly, claim 32 is patentable.

Claim Group 9

Claim 33 stands rejected under 35 U.S.C. §103(a) as being unpatentable over Nishiyama et al. or Weise et al. Applicants believe claim 33 is allowable over Nishiyama et al. and Weise et al. for the same reasons that claim 27 is allowable. Claim 33 further recites that the selected process gas comprises a mixture of the tetraethylorthosilicate and a fluorine-containing halocarbon gas selected from the group consisting of  $\text{CY}_4$  and  $\text{CX}_3-(\text{CX}_2)_n-\text{CX}_3$ ,



wherein X is hydrogen or halogen and n is an integer from 0 to 5 with the proviso that at least one X is fluorine, and wherein Y is hydrogen or halogen and at least one Y is hydrogen and at least one Y is fluorine. Neither Nishiyama et al. nor Weise et al. suggest the use of the recited process gas in the claimed method to achieve a tensile stress instead of a compressive stress in the layer. Therefore, claim 33 is patentable.

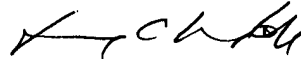
Claim Group 10

Claim 34 stands rejected under 35 U.S.C. §103(a) as being unpatentable over Nishiyama et al. or Weise et al. Applicants believe claim 34 is allowable over Nishiyama et al. and Weise et al. for the same reasons that claim 33 is allowable. Claim 34 further recites that the layer of silicon oxide contains at least about 2.5 atomic percent of fluorine over the conductive lines. Neither Nishiyama et al. nor Weise et al. suggest the use of the recited process gas in the claimed method to achieve a tensile stress instead of a compressive stress in the layer. Therefore, claim 34 is patentable.

X. CONCLUSION:

In view of the foregoing arguments distinguishing claims 1-10, 27-29, and 31-34 over the art of record, Applicants respectfully submit that the claims are in condition for allowance, and respectfully request that the rejection of these claims be reversed.

Respectfully submitted,



Chun-Pok Leung  
Reg. No. 41,405

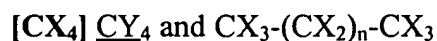
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RL  
PA 3183496 v1

Encl.: Appendix of claims involved in appeal

APPENDIX

1. A method of forming a conformal thin film of silicon oxide on a substrate having spaced conductive lines thereon comprising the steps of:  
mounting a substrate onto a substrate support in a vacuum chamber;  
forming a plasma in the vacuum chamber in a region above the substrate by means of an electrical power source from a reaction gas comprising a mixture of tetraethylorthosilicate and a fluorine-containing halocarbon gas selected from the group consisting of  $[CX_4]$   $CY_4$  and  $CX_3-(CX_2)_n-CX_3$  wherein X is hydrogen or halogen and n is an integer from 0 to 5 with the proviso that at least one X is fluorine and wherein Y is hydrogen or halogen and at least one Y is hydrogen and at least one Y is fluorine; and  
subjecting the substrate to the plasma so as to deposit a layer of silicon oxide containing at least about 2.5 atomic percent of fluorine onto the substrate without the formation of voids in the film.
2. The method of claim 1 wherein the plasma is created from the tetraethylorthosilicate and  $C_2F_6$ .
3. The method of claim 1 wherein the plasma is created by means of two power sources having different frequencies.
4. The method of claim 3 wherein the plasma is created by means of one power source having a frequency of about 13.56 MHz and a second power source having a frequency of between 50 KHz and 1000 KHz.
5. The method of claim 4 wherein the second power source has a frequency of about 400 KHz.
6. The method of claim 1 wherein a single power source having a frequency of about 13.56 MHz is used.
7. The method of claim 1 wherein said power source is a source of microwave power.
8. A method of forming a conformal thin film of silicon oxide over a substrate having spaced conductive lines thereon in a plasma chamber comprising  
mounting a substrate in said chamber;

introducing into the chamber in a region above said substrate as a plasma precursor gas vaporized tetraethylorthosilicate in a carrier gas including oxygen and a fluorocarbon selected from the group consisting of



wherein X is hydrogen or fluorine and n is an integer from 0 to 5 with the proviso that at least one X is fluorine and wherein Y is hydrogen or halogen and at least one Y is hydrogen and at least one Y is fluorine;

and thereafter forming a plasma therefrom, so as to deposit a layer of silicon oxide containing at least about 2.5 atomic percent of fluorine over said conductive lines.

9. A method according to claim 8 wherein the plasma precursor gas contains a ratio of silicon:fluorine of about 14:1.

10. A method according to claim 8 wherein the conductive lines are less than 1 micron in width and no more than 1 micron apart.

11.-26. CANCELED

27. A method of forming a layer of silicon oxide over a substrate having spaced conductive lines thereon in a process chamber, the method comprising:

introducing a selected process gas comprising tetraethylorthosilicate and oxygen into the process chamber;

adding a flow of a halogen source to the selected process gas at a flow rate previously determined to achieve a desired stress in the layer from a plasma enhanced reaction of the selected process gas and the flow of the halogen source at the flow rate, the desired stress in the layer being a tensile stress instead of a compressive stress in another layer formed from another plasma enhanced reaction of the selected process gas without the flow of the halogen source; and

forming the layer with the desired tensile stress from the plasma enhanced reaction of the selected process gas and the flow of the halogen source at the flow rate.

28. The method of claim 27 wherein the halogen source comprises a fluorine source.

29. The method of claim 28 wherein the fluorine source is selected from the group consisting of CF<sub>4</sub> and C<sub>2</sub>F<sub>6</sub>.

30. CANCELED

31. The method of claim 27 wherein the desired tensile stress is less than about  $0.4 \times 10^9$  dynes/cm<sup>2</sup> in magnitude.

32. The method of claim 31 wherein the fluorine source comprises  $C_2F_6$ .

33. The method of claim 27 wherein the selected process gas comprises a mixture of the tetraethylorthosilicate and a fluorine-containing halocarbon gas selected from the group consisting of  $CY_4$  and  $CX_3-(CX_2)_n-CX_3$ , wherein X is hydrogen or halogen and n is an integer from 0 to 5 with the proviso that at least one X is fluorine, and wherein Y is hydrogen or halogen and at least one Y is hydrogen and at least one Y is fluorine.

34. The method of claim 33 wherein the layer of silicon oxide contains at least about 2.5 atomic percent of fluorine over the conductive lines.

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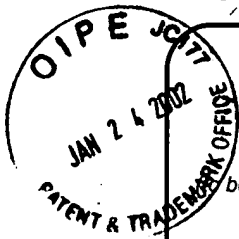
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# TRANSMITTAL FORM

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<b>TRANSMITTAL FORM</b> be used for all correspondence after initial filing)	<b>Application Number</b>	09/187,551
	<b>Filing Date</b>	November 5, 1998
	<b>First Named Inventor</b>	Musaka, Katsuyuki
	<b>Group Art Unit</b>	1762
	<b>Examiner Name</b>	Marianne Padgett
<b>Total Number of Pages in This Submission</b>	<b>Attorney Docket Number</b>	AM524R1/T289

## ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input checked="" type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Return Postcard
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## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

<b>Firm and Individual name</b>	Townsend and Townsend and Crew LLP Chun-Pok Leung	<b>Reg. No. 41,405</b>
<b>Signature</b>		
<b>Date</b>	12-14-01	

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PA 3190216 v1

**FEE TRANSMITTAL**  
for FY 2001

Patent fees are subject to annual revision.

**TOTAL AMOUNT OF PAYMENT** (\$) 320

**Complete if Known**

Application Number 09/187,551

Filing Date November 5, 1998

First Named Inventor Musaka, Katsuyuki

Examiner Name Marianne Padgett

Group Art Unit 1762

Attorney Docket No. AM524R1/T289

**METHOD OF PAYMENT**

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

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☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ Payment Enclosed:

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**FEE CALCULATION**

1. **BASIC FILING FEE**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	
<b>SUBTOTAL (1)</b>					<b>(\$)</b>

2. **EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
-20**		X	
-3**		X	
		X	

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
103	18	203	9	Claims in excess of 20	
102	84	202	42	Independent claims in excess of 3	
104	280	204	140	Multiple dependent claim, if not paid	
** Reissue independent claims over original patent					
** Reissue claims in excess of 20 and over original patent					
<b>SUBTOTAL (2)</b>					<b>(\$)</b>

**3. ADDITIONAL FEES**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	320
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	
Other fee (specify)					
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<b>SUBTOTAL (3)</b>					<b>(\$)320</b>

**SUBMITTED BY**

Name (Print/Type)	Chun-Pok Leung	Registration No. (Attorney/Agent)	41,405	Telephone	650-326-2400
Signature				Date	12-18-01

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